



RECORDS RETENTION AND DISPOSITION SCHEDULE

Insurance, Department of. Consumer Protection Division.

| Agency: Consumer Protection Division | | Division: | |
|--------------------------------------|---------------|--|---|
| ITEM NO. | RECORD SERIES | TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis) | RETENTION PERIOD |
| 1 | 83-573 | AGENT INVESTIGATION FILES Contains correspondence, field investigator's reports, transcripts of recorded statements, notes, recommendations to the deputy director, reply and instructions on how to proceed; may include transcript of hearings and any evidence (paper only); arranged alphabetically by name of agent or company. | TRANSFER to the RECORDS CENTER five (5) years after final adjudication of any administrative pleading. TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional ten (10) years in the RECORDS CENTER. TOTAL RETENTION: Fifteen (15) years after final adjudication of any administrative pleading. |
| 2 | 99-29 | MARKET CONDUCT EXAMINATIONS Market conduct examinations are performed at the discretion of the Commissioner of the Department of Insurance. These are the files containing the market conduct examinations of insurance companies. These examinations are performed by outside consultants and investigators for numerous reasons. Files are arranged alphabetically by company. Confidential, [IC 27-1-3.1-15, and IC 27-1-3.1-18, (1998 Edition)]. | TRANSFER to the RECORDS CENTER five (5) years after completion of the examination. DESTROY after an additional ten (10) years in the RECORDS CENTER. TOTAL RETENTION: Fifteen (15) years after completion of the examination. |
| 3 | 99-27 | COMPANY ADMINISTRATIVE ACTIONS Company administrative actions contain hearing decisions, settlements and/or fines from administrative actions against insurance companies. Arranged alphabetically by company name. Retention based on IC 34-13-1-1, (1998 Edition). | TRANSFER to the RECORDS CENTER three (3) years after any settlement and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional seven (7) years in the RECORDS CENTER. TOTAL RETENTION: Ten (10) years after any settlement and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. |
| 4 | 99-28 | INSURANCE COMPANY INVESTIGATION FILES Company files include investigations by attorneys or investigators concerning alleged violations of IC 27-4-1-4, IC 27-4-1-4.5, or IC 27-4-1-5.6, 1998 Edition. Alphabetical arrangement. Confidential, [IC 5-14-3-4 (b) (1&2), (1998 Edition)] | TRANSFER to the RECORDS CENTER three (3) years after completion of the investigation. DESTROY after an additional seven (7) years in the RECORDS CENTER. TOTAL RETENTION: Ten (10) years after completion of the investigation. |